

Chief Compliance Officer
Office of Enterprise Compliance
February 15, 2011

Item 4b – Attachment 1

Board Assignment Status

Assignment Date	Request / Subject	Due Date	Status / Completed Date
	Nothing to report		

Other Items of Interest

Item of Interest	Status / Completed Date
Program Activities	<ul style="list-style-type: none"> • ECOM presented two sessions of <i>Compliance and Ethics: Everyone's Responsibility</i> in New Employee Orientation on January 5, 2011 and February 2, 2011. • On January 26, 2011, ECOM hosted the quarterly Council of Compliance Officers Teleconference. The teleconference was attended by compliance professionals from various public pension funds. • February 9, 2011, Compliance personnel attended the Fair Political Practices Commission Statement's Economic Interest Filing Officer Workshop.
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none"> • Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing weekly summaries of compliance alerts to the Chief Compliance Officer. • CAMs worked with INVO and LEGO on Investment policy reviews.
Compliance Area Manager – Health	<ul style="list-style-type: none"> • CAM prepared the 2010 Annual Compliance Report. • CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.
Compliance Area Manager – Pension	<ul style="list-style-type: none"> • CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.

Item of Interest	Status / Completed Date
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